

APPLICATION FOR LICENSURE

ASBA FORM 2 — GENERAL INFORMATION

License Applying For:

- ☐ Auctioneer
☐ Apprentice
☐ Non-Resident Auctioneer (Non-Reciprocal)
☐ Reciprocal Auctioneer

Home State: _____

Full Name:

LAST

FIRST

MIDDLE/MAIDEN

Name as you wish correspondence to be addressed

(ex., if you go by your middle name): _____

Social Security Number:

Home Address: *(Physical location required also, if P.O. Box)*

Street:

City:

State _____ Zip: _____

Zip:

County:

Phone: _____

Fax:

E-mail: _____

Work Address: *(Physical location required also, if P.O. Box)*

Name:

Street:

City:

State _____ Zip: _____

Zip:

County:

Phone: _____

Fax:

E-mail: _____

Preferred Mailing Address:

☐ Business

 Home

(If applying for Apprentice, mail will automatically be sent to Sponsor)

Date of Birth:

Place of Birth:

U.S. Citizen?

☐ Yes☐ No

Gender:

☐ Female☐ Male

ASBA FORM 2 — CONTINUED

EDUCATION:

PROGRAM	NAME OF INSTITUTION	DEGREE	DATE AWARDED
High School			
G.E.D.			
College			

Have you graduated from an approved auction school? ☐ Yes ☐ No

If "Yes", please complete the following:

Name of School: _____

Date Graduated: _____

Please include a copy of diploma if apprentice.

EMPLOYMENT EXPERIENCE: List all places of employment during the past five (5) years, listing your current employer first. If self-employed, give details.



NAME OF COMPANY

ADDRESS

POSITION HELD

DUTIES

DATES OF EMPLOYMENT



NAME OF COMPANY

ADDRESS

POSITION HELD

DUTIES

DATES OF EMPLOYMENT

ASBA FORM 2 — CONTINUED

EMPLOYMENT EXPERIENCE (CONTINUED)



NAME OF COMPANY

ADDRESS

POSITION HELD

DUTIES

DATES OF EMPLOYMENT



NAME OF COMPANY

ADDRESS

POSITION HELD

DUTIES

DATES OF EMPLOYMENT

RESIDENCE HISTORY: List all places of residence in the past five (5) years, beginning with present address.

ADDRESS	CITY	STATE	ZIP	DATES

ASBA FORM 3 — QUALIFYING QUESTIONNAIRE

Check "Yes" or "No" for each question. Do not leave any question unanswered.

1. Have you ever held an Auctioneer License in Alabama or any other state?

☐ Yes ☐ No

If "Yes", please complete the following: (use additional sheets if necessary)

State _____ License No. _____

Date License Held: _____ to _____

State _____ License No. _____

Date License Held: _____ to _____

State _____ License No. _____

Date License Held: _____ to _____

State _____ License No. _____

Date License Held: _____ to _____

2. Have you ever been denied an Auctioneer License in Alabama or any other state or jurisdiction? ☐ Yes ☐ No

If "Yes," please explain (use additional sheets as necessary): _____

3. Have you ever had an Auctioneer License suspended, revoked, or surrendered or have you ever been disciplined by a Licensing Authority in Alabama or any other state or jurisdiction? ☐ Yes ☐ No

If "Yes," please explain (use additional sheets as necessary): _____

4. Have you ever had any other business or professional license of any type suspended, revoked or surrendered in Alabama or any other state or jurisdiction?

☐ Yes ☐ No

If "Yes," please explain (use additional sheets as necessary): _____

ASBA FORM 3 — CONTINUED

5. Have you ever been arrested, indicted or convicted of any criminal offense, including misdemeanor arrests and motor vehicle or traffic violations, in Alabama or any other jurisdiction? ☐ Yes ☐ No

If "Yes," please explain (*use additional sheets as necessary*): _____

6. Have you been involved in a civil law suit within the past ten (10) years?

☐ Yes ☐ No

If "Yes," please explain, giving complete details including whether you were the plaintiff or defendant, what the suit alleged or involved, and the final disposition of the case (*use additional sheets as necessary*): _____

7. Are there any unpaid judgments of debt or garnishments now outstanding against you? ☐ Yes ☐ No

If "Yes," please explain (*use additional sheets as necessary*): _____

8. Do you, at this time, have an application for either an Auctioneer or Apprentice Auctioneer License pending before any Licensing Board or Commission? ☐ Yes ☐ No

If "Yes," list all pending applications: _____

9. Have you read the Alabama Auctioneer License Law and the Rules and Regulations of the Alabama State Board of Auctioneers? ☐ Yes ☐ No

*If the answer to any of the above questions is "Yes," please enclose with this application complete information with respect to **ALL** circumstances and the final result, if such has been reached. A "Yes" answer does not necessarily mean the applicant will not be granted a license. However, additional documentation may be requested by the Board if the information submitted is insufficient.*

ASBA FORM 4 — AFFIDAVIT OF ENDORSEMENT

I, _____, do hereby certify that I am not related to _____, the foregoing applicant; that I have owned real estate in _____ County, State of _____ for the past year; that I have been personally acquainted with the applicant in _____ County, State of _____, for the past two years; and that I know that the applicant bears a good reputation for honesty, truthfulness and fair dealing, and that he/she is competent to transact the business of an Auctioneer in such a manner as to safeguard the interest of the public; and I do hereby recommend that a license be granted to the applicant.

Signature

Address

City, State, Zip

Phone Number

Subscribed and sworn before me this _____ day of _____, A.D. _____.

Notary Public

My Commission Expires

(Notary Seal)

ASBA FORM 4 — AFFIDAVIT OF ENDORSEMENT

I, _____, do hereby certify that I am not related to _____, the foregoing applicant; that I have owned real estate in _____ County, State of _____ for the past year; that I have been personally acquainted with the applicant in _____ County, State of _____, for the past two years; and that I know that the applicant bears a good reputation for honesty, truthfulness and fair dealing, and that he/she is competent to transact the business of an Auctioneer in such a manner as to safeguard the interest of the public; and I do hereby recommend that a license be granted to the applicant.

Signature

Address

City, State, Zip

Phone Number

Subscribed and sworn before me this _____ day of _____, A.D. _____.

Notary Public

My Commission Expires

(Notary Seal)

**REGISTRATION FORM FOR THE
AUCTIONEER/APPRENTICE EXAMINATION—ASBA 5**

The Auctioneer and Apprentice Examination will typically be offered on the third Tuesday in January, April, July, and October by the Alabama State Board of Auctioneers in Montgomery. Application for examination must be in proper form and filed in the Board Office on or before the filing date established by the board for a scheduled examination. The examination fee is \$100.00 each time the test is taken. **Upon approval of your application, you will be mailed further information regarding the testing time, location and study materials.**

2004 SCHEDULE OF LICENSURE EXAMINATION DATES

January 20, 2004	Application Deadline:	January 2, 2004
April 20, 2004	Application Deadline:	April 2, 2004
July 20, 2004	Application Deadline:	July 2, 2004
October 19, 2004	Application Deadline:	October 1, 2004

Please complete the following if you wish to request to sit for examination:

Name: _____

Address: _____

City: _____ ST: _____ Zip: _____

Phone: _____ FAX: _____

E-Mail Address: _____

Check the appropriate examination you wish to take:

☐ Apprentice ☐ Auctioneer

I wish to register for the following date: _____

****Remember to enclose your \$100.00 check.****

ASBA 6 — SPONSORING AUCTIONEER'S INSTRUCTIONS AND AFFIDAVIT

As Sponsoring Auctioneer, you have agreed to assume responsibility for the acts of your apprentice in the conduct of the auction business and sales and that you will be present (at the sale site) and supervise any auction sale conducted by your Apprentice. IN the event the Sponsoring Auctioneer cannot attend a particular sale, he/she must appoint a qualified, licensed Auctioneer to act in his/her stead. Any and all funds received from sales by apprentices must be maintained in the Sponsoring Auctioneer's escrow account.

Both the Apprentice Auctioneer and the Auctioneer must keep current bonds as required by Alabama Law.

Apprentice licenses are to remain in the custody of the Sponsoring Auctioneer. Apprentice licenses are valid only while the Apprentice is employed and supervised by the Sponsoring Auctioneer. When an Apprentice Auctioneer is discharged or terminates his/her employment with the Auctioneer for any reason, it shall be the immediate duty of the Auctioneer to deliver, or mail by certified mail, to the Board, the license of the Apprentice Auctioneer. It shall be unlawful for any Apprentice to perform any of the acts under the authority of his/her Apprentice license until he/she receives a new sponsor and a new license bearing the name and address of his/her new sponsor.

No Apprentice Auctioneer may enter into an agreement to conduct an auction without the express written consent of his/her Sponsoring Auctioneer and all contracts so entered into must be made in the name and on the behalf of the Sponsoring Auctioneer.

Any Apprentice who advertises must also indicate in his/her advertisement the name of the Auctioneer under whom he/she is licensed. The name of the Auctioneer shall be displayed in equal prominence with the name of the Apprentice in such advertisement.

An Apprentice must conduct ten or more auctions during his/her apprenticeship except that an applicant who has completed the prescribed course of study at an accredited auctioneer school approved by the Board must conduct five or more auctions during his/her apprenticeship.

The Auctioneer will be required to submit a notarized statement verifying that he/she sponsored the Apprentice at least 24 months and that during that period of time the Apprentice conducted at least ten or more auctions except that an applicant who has completed the prescribed course of study at an accredited auctioneering school approved by the Board shall be required to serve at least 12 months as an Apprentice, conducting at least five auctions during his/her apprenticeship.

When the Apprentice has completed the required number of months as an Apprentice and conducted the required number of sales, he/she must submit, along with the list of required auctions, proof that the Sponsoring Auctioneer's name was included on the advertisement during the apprenticeship and also submit a cancelled check showing that the money went through the escrow account of his/her Sponsoring Auctioneer.

ASBA FORM 6 — CONTINUED

This is to certify that _____, Apprentice applicant will, when properly licensed, be associated with or engaged by me in the capacity of an Apprentice Auctioneer and that I will exercise proper supervision over and assume responsibility for his/her acts as an Apprentice Auctioneer while associated with me, and that to the best of my knowledge he/she is a person of honesty, truthfulness and integrity, and that I will personally appear before the Alabama State Board of Auctioneers in connection with the application if requested to do so.

I further certify that I have read the completed application before signing.

Sponsor's Name: _____ License No. _____

Business Name: _____

Address: _____

City: _____ State: _____ Zip: _____

Phone: _____ Fax: _____

E-mail address: _____

Sponsoring Auctioneer's Signature

Subscribed and sworn before me this _____ day of _____, A.D. _____.

Notary Public

My Commission Expires

(Notary Seal)

ASBA FORM 7 — CONSENT TO SERVICE OF JURISDICTION

Instructions: Required for out-of-state applicants. Please complete and have notarized.

KNOW ALL MEN BY THESE PRESENTS:

The undersigned _____, being an applicant for license as a non-resident Auctioneer or Apprentice Auctioneer of the State of Alabama, does hereby irrevocably consent, stipulate and agree that suits and actions may be commenced against such applicant in the proper court of any county of the State of Alabama in which a case of action may arise in which the plaintiff may reside, by the service of any process or pleading authorized by the State of Alabama on the Secretary of the State Board of Auctioneers, and that such service of such process or pleadings on said Secretary shall be taken and held in all courts to be as valid and binding as if the service had been made upon said applicant in the State of Alabama.

Signed at _____
on the _____ Day of _____, 20____

Name of Applicant: _____

Address: _____

City: _____ State: _____ Zip: _____

State of _____

County of _____

Personally appeared _____ before the undersigned Notary Public in and for the above named County and State, the day and date above named, and acknowledged the execution of the foregoing instrument to be the voluntary act and deed of such applicant for the purposed therein set forth.

Notary Public

County

State

My Commission Expires

(NOTARY SEAL)

ASBA FORM 8 — BOND FORM

Instructions: This form is to be completed and sent with original bond and power of attorney (can be done after passing examination or approval for licensure).

BOND NO. _____

BOND FOR APPRENTICE OR AUCTIONEER

KNOW ALL MEN BY THESE PRESENTS, that we _____ of _____, as principal, and _____, as surety, are held and firmly bound Unto the Alabama State Board of Auctioneers in the sum of Ten Thousand Dollars (\$10,000.00), lawful money of the United States, for the payment of which well and truly to be made, we and each of us, bind ourselves, our heirs, executors, administrators, successors and assigns, jointly and severally, firmly by these presents.

The conditions of the above obligation are such that whereas the above-named principal has made application to the Alabama State Board of Auctioneers of the State of Alabama for a license as an auctioneer or apprentice auctioneer to engage in or continue in the business of auctioneer or apprentice auctioneer in accordance with the provisions of the act entitled: "Auctioneers License Act No. 811-1973," including all amendments made thereafter.

NOW, THEREFORE, if the said applicant, as principal, shall in the event said license be issued to him or her, conduct his or her business as an auctioneer or apprentice auctioneer in accordance with the provisions of said act, and shall indemnify any person in accordance with the provisions of said act, said principal hereby agreeing to indemnify any person damaged by any misrepresentation or fraud on the part of said principal or by reason of the violation of the terms of said act, then this obligation shall be void, otherwise to remain in full force and effect.

It is expressly understood and agreed that the said liability of the surety for any and all claims hereunder shall in no event exceed the sum of Ten Thousand Dollars (\$10,000.00).

It is agreed and understood that this bond shall be in full force and effect indefinitely and that a continuation or renewal certificate is unnecessary.

The Surety may at any time cancel this bond by giving sixty days' written notice to the Alabama State Board of Auctioneers, the surety, however, remaining liable for any defaults under this bond committed prior to the expiration of such 60 day period.

Signed and Sealed at _____, Alabama this ____ Day of _____, A.D. _____.

Alabama Agent Name

Signature of Principal—Applicant

Alabama Agent Signature

Signature of Authorized Agent

Address of Agent of Surety Company of Alabama:

Street Address

City, State, Zip

Request For Conviction/Criminal History Record

Name: _____
(Please Print) (First) (Middle) (Last)

Social Security Number: _____

Date of birth*: _____ Place of birth: _____ (County and State, or Country)

DL# _____ State: _____

Height*: _____ Weight*: _____ Hair color*: _____ Eye color*: _____ Race*: _____

*Used for identification only, not required.

Other names used and dates of use (including maiden name): 1. _____

2. _____ 3. _____

Have you ever been convicted of a crime? _____ Yes _____ No

If yes, give details (date, crime, location). _____

Note: Disclosure of convictions does not automatically disqualify you for employment.

Current address: _____
Number, Street, Apartment # (if any), City, State, Zip Code

Previous address: _____ Dates: _____
Number, Street, Apartment # (if any), City, State, Zip Code

List addresses, cities, states and counties of residence you have lived for the past seven years.

<u>Address</u>	<u>City</u>	<u>State</u>	<u>County</u>	<u>From</u>	<u>To</u>
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____

Signature below authorizes and requests any present or former employer, school, police department, financial institution, division of motor vehicles, or other persons or agencies having personal knowledge about me to furnish bearer with any and all information in their possession regarding me, in connection with an application for employment. I give permission that a photocopy of this authorization be accepted with the same authority as the original.

Under the federal Fair Credit Reporting Act (FCRA) and other applicable state law, you have certain rights with regard to consumer reports obtained for employment purposes including, upon request, disclosure of information on you in the reporting agency's file at the time of the request, including the identification of persons who have procured a consumer report concerning you, and reasonable opportunity to respond to any information in the report that is disputed by you. The FCRA, 15 U.S.C. 1681, is designed to promote accuracy, fairness, and privacy of information in the files of every "consumer reporting agency" (CRA). You may have additional rights under state law. Request for disclosure of the reporting agency's file should be made in writing within a 60 day time period by certified mail to Background Investigations, Inc. P.O. Box 3366, Lynnwood, WA 98046-3366. A copy of any written reports provided to Alabama State Board of Auctioneers would be provided to you if Alabama State Board of Auctioneers intends to withdraw its offer because of something in any report. The undersigned hereby acknowledges that he/she has read or has had read to him/her the above statement and has understood it, and agrees to be bound by it.

Signature

Date